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# Management Briefs For Naval Officers

Baker, Carlyle J.; McManus, Edward A.

Monterey, California: U.S. Naval Postgraduate School

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# MANAGEMENT BRIEFS FOR NAVAL OFFICERS

CARLYLE J. BAKER
and
EDWARD A. McMANUS

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# MANAGEMENT BRIEFS

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[redacted]

Monterey, California

# MANAGEMENT BRIEFS FOR NAVAL OFFICERS

## ABSTRACT

This paper is an illustrated guide on selected management principles and concepts applicable to Naval Officers and related to the management problems with which they may be confronted.

Emphasis has been placed on the following topics:

Organization

Authority, Responsibility and Accountability

Delegation

Motivation, Objectives and Goals

Communications

Management Controls

Troubles with Juniors, Problems with Peers and Difficulties with Seniors

Professional Development

# MANAGEMENT BRIEFS FOR NAVAL OFFICERS

AN ILLUSTRATED GUIDE

OF

SELECTED MANAGEMENT PRINCIPLES AND CONCEPTS

Presented

to the

Faculty of the Navy Management School

U. S. Naval Postgraduate School

In Partial Fulfillment

of the

Requirements for the Degree

Master of Science in Management

By

Carlyle J. Baker, CDR, CEC, USN

Edward A. McManus, LCDR, CEC, USN

May 1962

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MONTEREY, CALIFORNIA

SOME PEOPLE DON'T HAVE MANAGEMENT PROBLEMS

# BUT YOU WILL!

Dynamics of today's Navy combined with its sheer magnitude demand that you be proficient in the basic functions of management.

PLANNING

ORGANIZING

STAFFING

DIRECTING

CONTROLLING

The management briefs which follow are presented as guides to help you avoid some of the pitfalls and resolve some of the problems related to these functions.

# ORGANIZATION

AND / OR

# ORGANIZATIONS

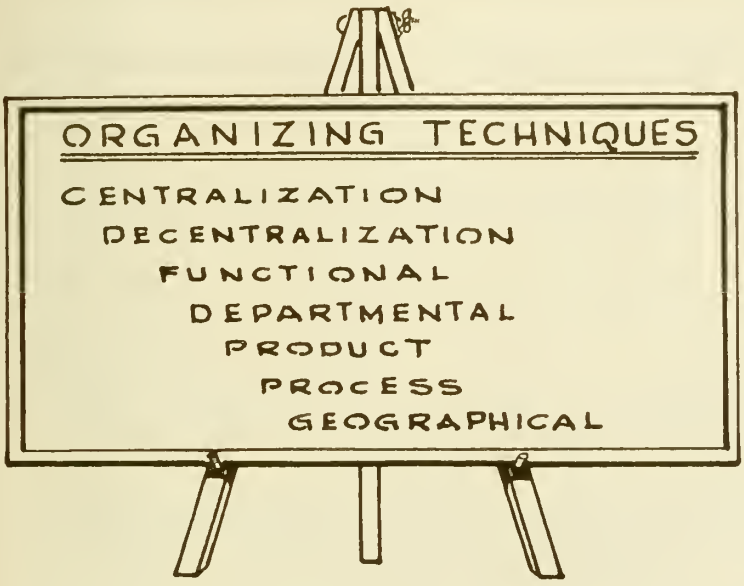
# AN ORGANIZATION IS ANY GROUP OF PEOPLE WITH A PURPOSE

D —

# EACH AND EVERY ONE OF US WILL SPEND A LARGE PART OF OUR LIVES IN ASSOCIATION WITH ORGANIZATIONS OF ONE TYPE OR ANOTHER.

These environmental agencies will provide much of the force that molds and develops personal qualities and habits.

There are numerous techniques and patterns for the structuring of organizations.....and the Navy uses practically all of them either singularly or in combination.



The Navy's organizational structure for the various ships, stations and activities has been developed over a period of years and has been established on well-known concepts and principles of organization.

The organizational plans for each Naval unit are usually the result of considerable thought, study and evolution. Once established, they are seldom subject to drastic changes. In most cases, re-organization is limited to the rearrangement of functions and personnel assignments. Occasionally revisions are made for the purpose of accomodating individual personalities.

One major problem for those concerned with organizational planning is the determination of relationships between jobs, people and the capacity in which they will act.

In other words:

"Will they act in a LINE or STAFF capacity or a combination of both?"

Since an understanding of the concepts of "Line" and "Staff" is important---let's take a closer look into this subject.

LINE versus STAFF

Line Authority is the right to command and carries direct responsibility for the accomplishment of objectives.

Decisions are made and orders are issued through line authority.

Staff Functions are those of rendering advice and recommendations or providing technical or specialized information.

Staffs are consultative in nature and have the responsibility of collecting the data upon which decisions or courses of action may be based.

A staff is on TAP---not on TOP!

OFFICER ASSIGNMENT

Line Officers might well be assigned staff functions. (Comptroller, Flag Secretary, Inspector General, etc.)

Staff Officers might well have line authority. (Commanding Officer of a Hospital, Supply Center or a Mobile Construction Battalion)

Two Hat Jobs are sometimes established in which an individual is assigned both line authority and staff functions.

For example:

A Public Works Officer acts in a staff capacity when advising the Commanding Officer on public works matters; but acts with line authority when managing his Public Works Department.

Note: The traditional relationship between the line and staff concepts are being reduced because technological advances require a much closer interrelationship of these functions.

KNOW WHERE YOU FIT IN THE ORGANIZATION!

Be thoroughly familiar with the extent or limitation of your authority.

Know whether you are acting in a "Line" or "Staff" capacity.

AUTHORITY.....RESPONSIBILITY.....ACCOUNTABILITY

Authority is delegated legal power, right or jurisdiction; the power to force obedience and take all necessary measures to carry out responsibilities.

Limits on authority are normally defined by law, policy or funding restrictions.

Centralization or decentralization is determined by the amount and type of authority delegated to subordinates. A highly decentralized operation is one in which subordinates have been delegated the authority to make significant decisions.

Authority is the cohesive force which holds an organization together.

Responsibility on the other hand is the obligation of a subordinate to carry forward an assigned task to a successful completion.

Responsibility cannot be assigned, transferred or delegated; it is created by the acceptance of an assignment.

Compliance with orders is mandatory in the military and the corresponding responsibility is automatically created upon receipt of an order. This is in contrast to the situation in which an individual is free to accept an assignment with its responsibility or refuse it and seek employment elsewhere.

Keep in mind: "You cannot hold a man responsible for a job unless he has been delegated the necessary authority to see it through."

"Don't half delegate and expect results!"

Accountability is often misused as a synonym for responsibility.

It should be considered as a legal liability with respect to physical property.

MANAGERS have:

Duties assigned to them.

Authority delegated to them.

Responsibility exacted from them.

In formally organized groups:

"MANAGEMENT is the art of getting things done through and with people."

Management includes such functions as:

Determination of objectives.

Planning

Staffing and Training

Coordinating

Controlling

Evaluating

Directing the activity

In any organization:

LEADERSHIP IS ESSENTIAL!

"Leadership may be defined as the ability to influence people through communications to achieve goals."

It is the means by which people are motivated to think and direct their efforts in the manner desired by management and is a contributing factor in the development of morale.

Morale has been defined as:

"That complex combination of factors that causes people to do or fail to do those things that the organization expects of them."

Under normal conditions, a group with high morale is expected to be efficient and effective; however, research has shown that there is no consistent correlation between morale and productivity.

Some groups may be very contented while doing nothing.

So.....don't confuse happiness with morale!

The essence of managership is:

COORDINATION which is concerned with the problem of getting people in an organization to work together harmoniously to achieve common goals with the minimum expenditure of effort and material.

Personal contact is by far the most effective means of achieving coordination.

Other methods include the use of:

Written communications

Group meetings

Liaison men

Coordination is particularly significant with respect to the early stages of planning, since it is difficult to unify plans after they have been put into effect.

## "SPAN OF CONTROL" and "UNITY OF COMMAND"

Span of Control is the principle concerning the number of people which can be effectively supervised by an executive.

The optimum number of people to be under the supervision of an executive will depend upon:

His personal capability.

The amount of time he has available for the supervision of subordinates.

The nature of the work.

The ability of the subordinates to work on their own.

Unity of Command is the principle..... that each person in an organization should have one boss, who in turn is responsible to his immediate supervisor, etc., up and down the chain of command.

LACK OF COORDINATION

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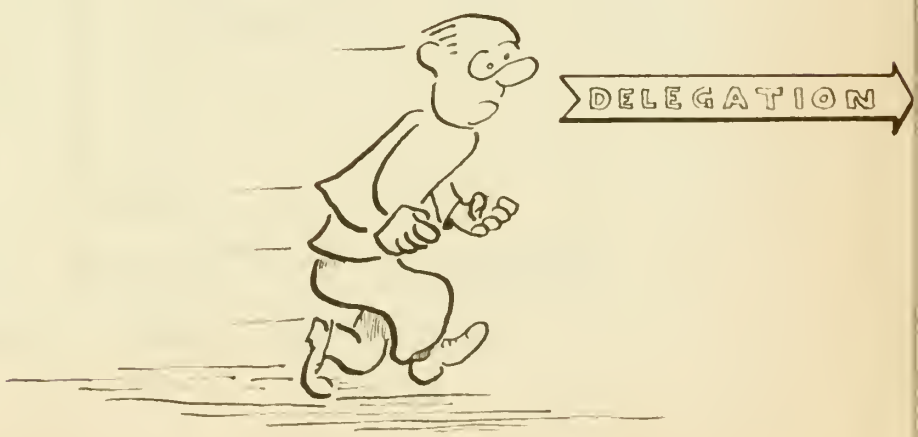
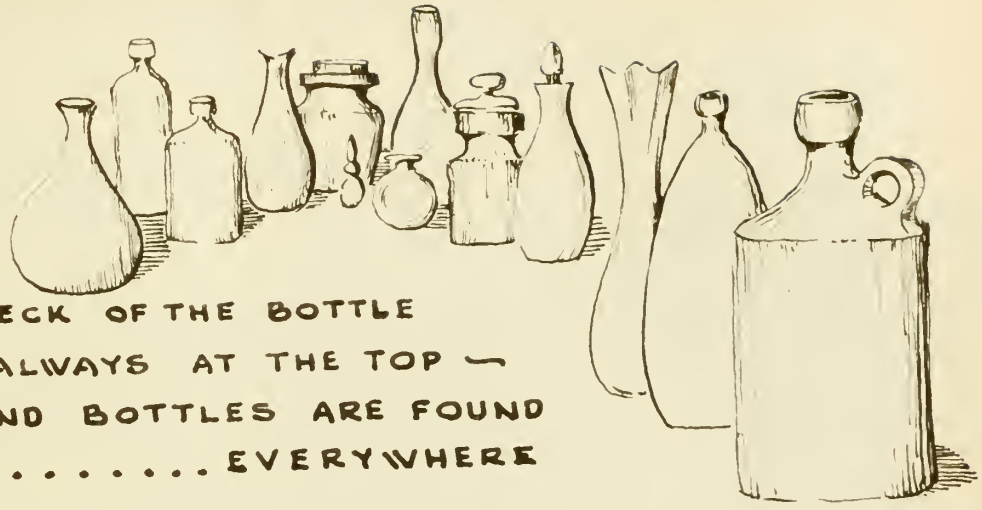


# DELEGATION



THE NECK OF THE BOTTLE
IS ALWAYS AT THE TOP —
AND BOTTLES ARE FOUND
.....EVERYWHERE

ARE YOU
THE
BOTTLENECK
AT
YOUR
LEVEL?

YOU CAN BEAR THE BURDEN
OR SHARE THE BURDEN
THRU.....

# DELEGATION

Many managers are reluctant to delegate.

BY failing to delegate, the executive is being unfair to his superiors, subordinates, the organization and himself.

BECAUSE------it is impossible for an individual to provide personal supervision and direction to the numerous operations found in the complex organizations of industry and the armed forces.

In fact, one of the basic reasons for any organization is to provide the situation which is conducive to the distribution of work, authority and responsibilities.

TO delegate effectively---it is essential that you, as a manager,

first:

RECOGNIZE THE NEED FOR

DISTRIBUTING THE WORKLOAD

and

BE WILLING TO DIVORCE YOURSELF

FROM THOSE FUNCTIONS WHICH CAN

BE HANDLED BY YOUR SUBORDINATES

then:

## DO IT!

(Some of the more important do's and don'ts concerning delegation are listed for your review.)

## DO'S AND DON'TS OF DELEGATION

Do assign specific tasks. (Preferably in writing)

Do formulate clear policies and promulgate them.

Do delegate by results expected. (Leave out the "how")

Do delegate adequate authority with assignments. (Essential for the proper accomplishment of tasks)

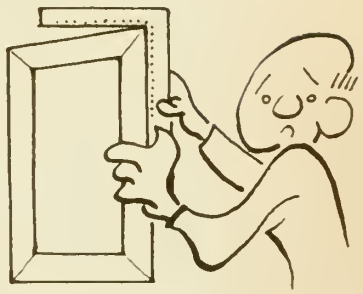
Do be willing to accept a calculated risk.

Do select the man to fit the job.

Do trust your subordinates.

Do establish controls and internal checks.

Do maintain open channels of communication.



..STANDARDS..

Do train subordinates to carry out assignments alone.

Do allow decisions to be made at the lowest reasonable level.

Do standardize functional and housekeeping procedures to eliminate need for decisions.

Do reward jobs well done. (Simple recognition is often sufficient)

Don't make decisions for subordinates.

Don't hold back part of the authority.

Don't be impatient and do the work yourself.

Don't retard initiative or skills of others.

Don't overdelegate. (Do your own work)

Don't disrupt chain of command.

Don't be afraid to make a mistake.

Don't be the indispensable man.

MISTAKES ARE NOT FATAL

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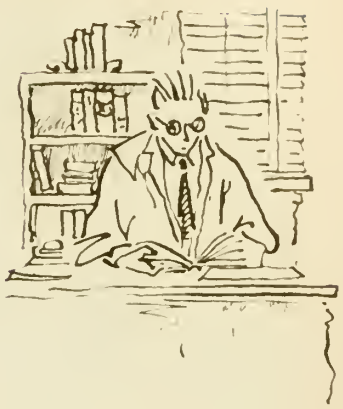


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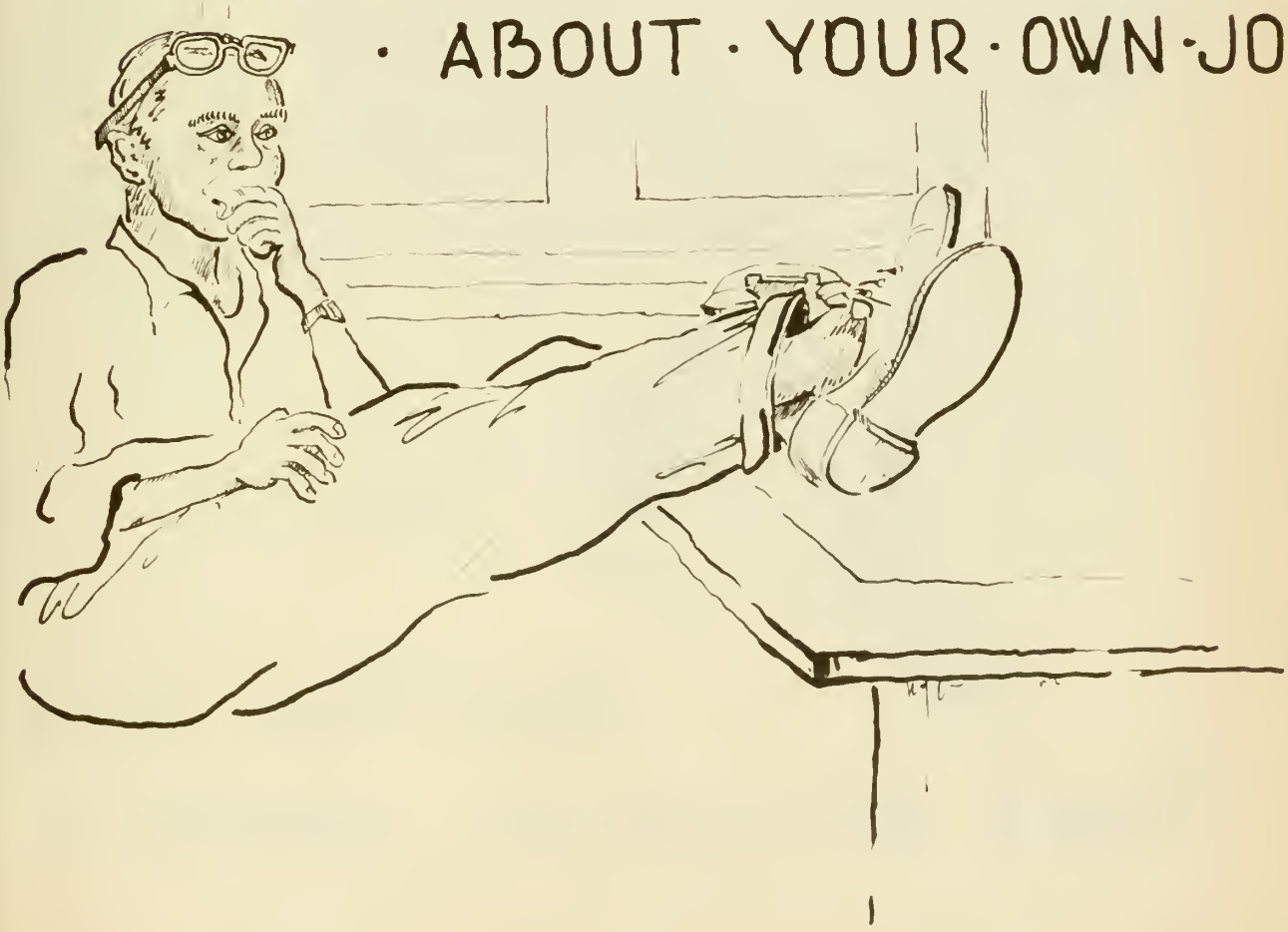
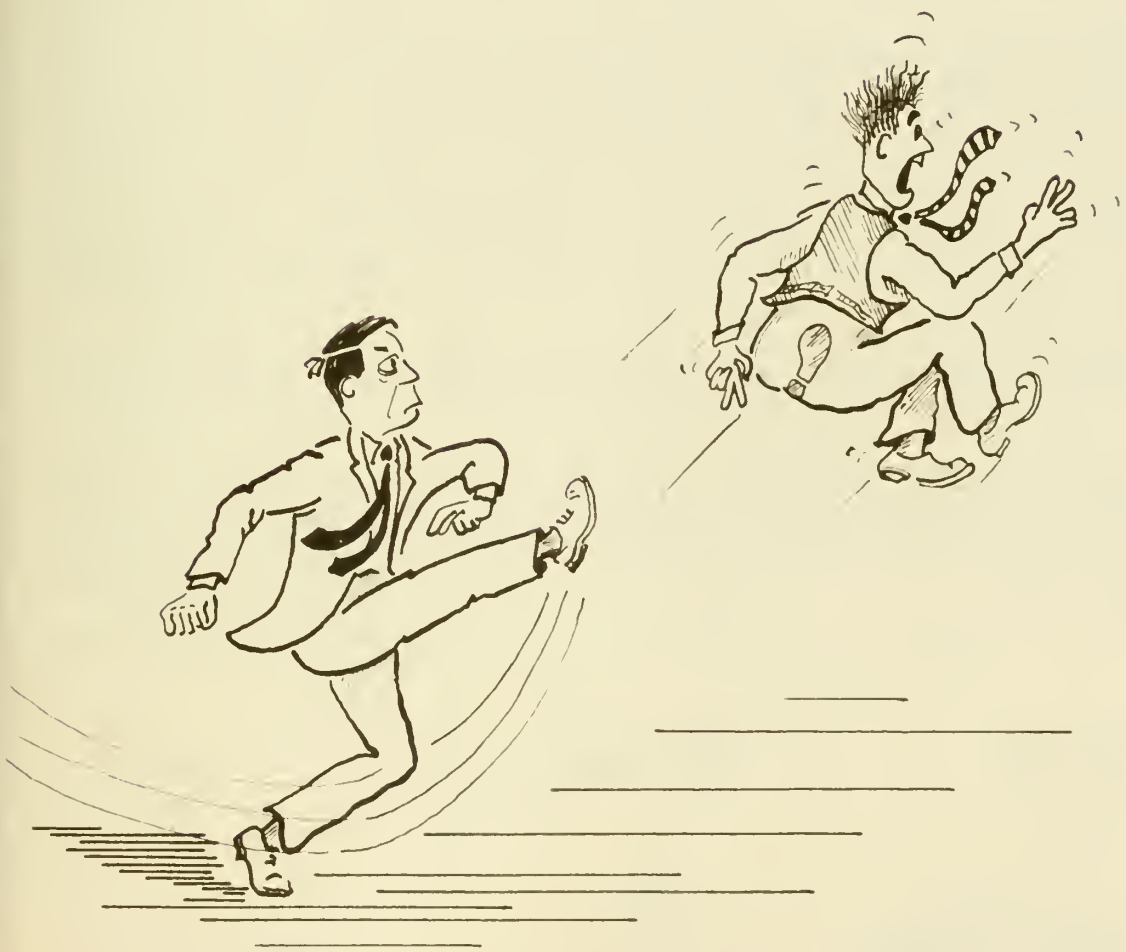
· DELEGATION · PROVIDES ·
· TIME · FOR · THINKING
· ABOUT · YOUR · OWN · JOB



. AND CERTAIN
FRINGE BENEFITS TOO!

# MOTIVATION



## ··THERE'S NO SUCH THING AS AN "AVERAGE MAN"··

Each person is a "composite human being" as a result of the different factors of heredity and environment which influence his physical make-up and mental outlook.

These differences in heredity and environment cause people to develop their own standards and values and to evaluate situations from their own particular point of view. Even "facts" are seen quite differently by different people.

For example: your viewpoint of the Navy will vary considerably depending on whether you are a "Tin Can" sailor, the skipper of a shore station, or a raw recruit in boot camp.

Furthermore, your physical make-up, sex, intelligence, religious, racial, cultural and educational differences will have a definite effect on your motivational and behavioral patterns.

While there is no such thing as an "average man," one generality that can be made concerning all groups of people---there behavior will be directed toward the satisfaction of their individual needs.

The minimum needs are:

·FOOD·

·CLOTHING·

·SHELTER·

N OUR ECONOMY

THE BASIC NEEDS

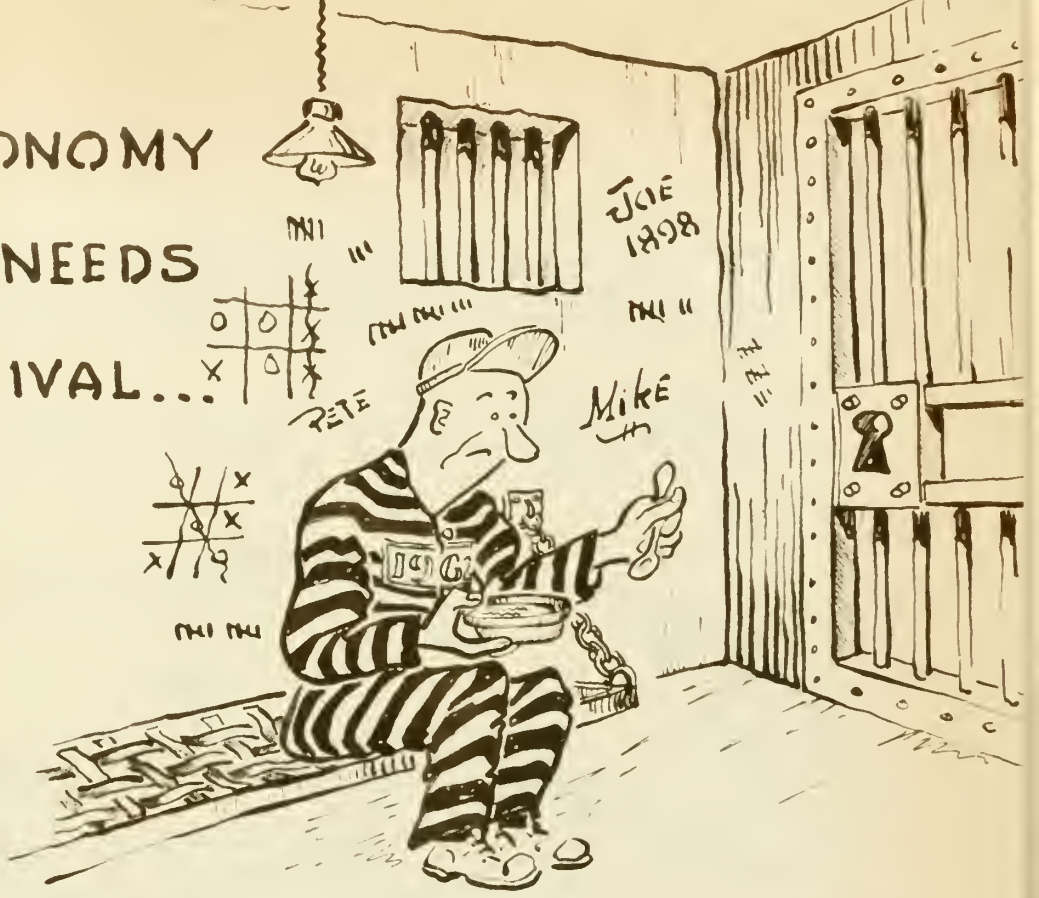
FOR SURVIVAL...

OOD

LOTHING

&

SHELTER




ARE READILY AVAILABLE ..... EVEN IN JAIL.

BUT: THE WANTS OF MAN ARE UNLIMITED!

Besides food, clothing and shelter.....

He wants: to provide more for his family, to improve his standard of living, to attain increased social status and other things just to "keep up with the Joneses."

It is a recognized fact that man's needs are of an infinite variety and constantly changing.

Because people's needs change, we must evaluate each individual in his particular situation to determine what motivation is needed.

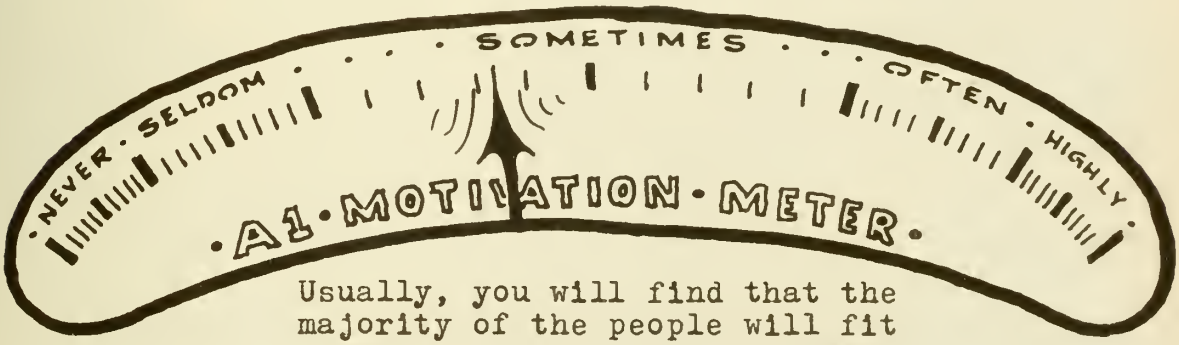
When old age looms-----people crave security.

When prices soar-------people want higher pay.

When conditions are stable----------people want recognition, praise and fair treatment.

In the Navy you will associate with a variety of people; ranging from the boot seaman and unskilled workers to the professionals in the engineering, scientific and medical fields.

While you will find that some of the people are highly motivated, you will find others who are entirely inert in this respect.




Usually, you will find that the majority of the people will fit somewhere between the extremes.

Motivation is essential to the accomplishment of the organizational objectives.

Experience indicates that the best approach to motivation is one that strives <u>to create employee confidence in the organization</u> and <u>attempts to satisfy his personal needs and ambitions</u>.

CONFIDENCE IS CREATED THROUGH:

<u>Organization</u>---by establishing clear-cut lines of authority, creating communication channels, defining responsibilities, promulgating policies and regulations and announcing the goals and objectives of the organization.

<u>Supervisors</u>----who have interest in the employees as "human beings" and who appreciate the problems and needs of the individual workers.

Placement
<u>Procedures</u>-----whereby the individual differences and limitations are considered in the assignment of personnel.

Put the right man in the right job.

PERSONAL NEEDS CAN BE SATISFIED BY:

Financial Reward — A person's take-home pay is one of the major factors in producing the will to work.

However, it should be remembered that while it is a tremendously important motivating factor, often it is not the one considered to be the most important to the worker.

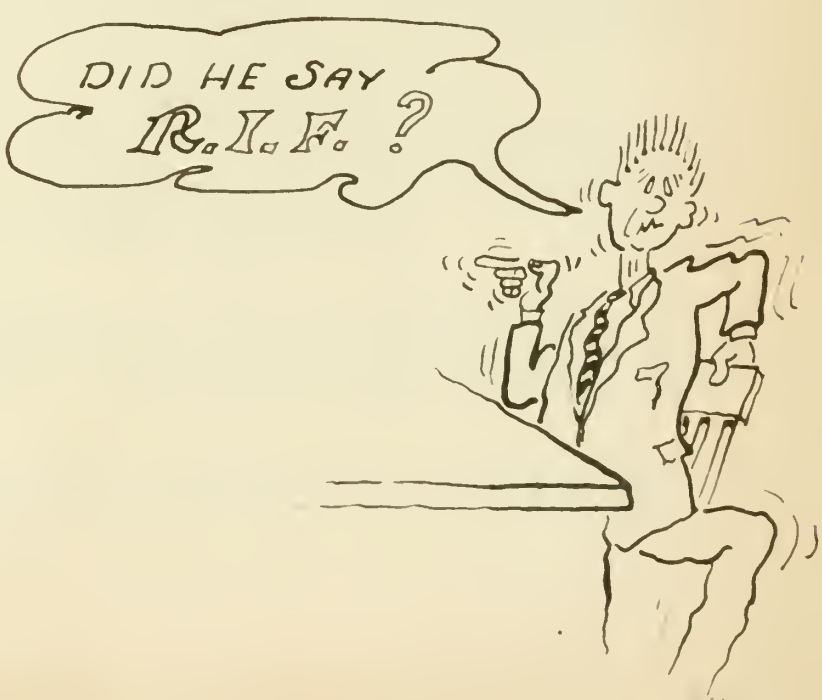
Various attitude surveys show that financial reward rates 5th or 6th place as an item of importance to Americans. This, of course, depends on the individual.

Opportunity----------for advancement, self-development, self-expression and prestige.

Performance — Self-satisfaction with one's work and the accompanying sense of accomplishment provides motivation of the highest order, since it is self-perpetuating.

Recognition----------of the worker as an individual and respect for his dignity as man.

A Sense of Security — Job security is second only to financial reward.



Motivation is a long-range program.....

At times:

Emergencies

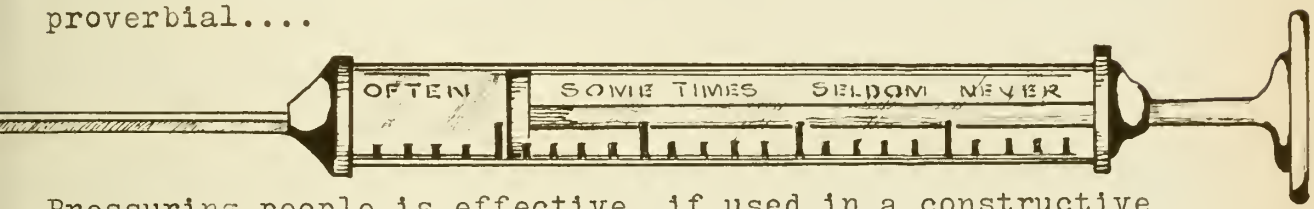
Demoralized Organizations

and

Slack situations where personnel are non-responsive to the normal means of motivation

REQUIRE STRESS TECHNIQUES!

One of the surest ways to produce results is to use the proverbial....




Pressuring people is effective, if used in a constructive manner.

Needle by: Showing your disappointment and non-acceptance of mediocre work.

Being timely with your criticism.
(Not before---nor long after the work is done.)

Insisting upon immediate improvement.

Establishing standards and deadlines; requiring compliance.

Being specific as to the consequences of failure.

Respecting individual differences and limitations even under strained situations.

Remember:

In correcting adverse situations, take adequate action in the beginning---it is easier to "slack-off" than to take additional strain at a later date.

While stress techniques are effective---they should be used only for critical conditions and for periods of short duration.

# WHEN IT'S NECESSARY TO CRITICIZE...

Be sure to choose the right time and place---don't criticize publically---the hurt which comes with embarrassment in the presence of others is deep.

Be sincere---make it clear that your interest is in the employee; make criticism the basis for improvement.

Be explicit---explain the importance of the error; be firm, sharp and objective and if necessary, emphatic---there is no meeting of the minds if you hedge or compromise.

Be critical of the act---not the person.

Be specific about the remedy or the penalty.

Be calm---speak without sarcasm; don't threaten---expression of dissatisfaction is enough.

## AND REMEMBER

The only people who avoid mistakes are those that do nothing at all.

You can't expect the person who has erred to see your side right away.

Follow-up and commend improvement.

# PRESTIGE FOR PROFESSIONALS

The motivation of professionals requires an appreciation of their goals and objectives.

True professionals are individuals devoted to the pursuit of knowledge and skills in their particular field of interest. Their lives have been channeled and fully committed to those activities which will further their standing as a member of their particular profession.

Scientists, Mathematicians, Doctors, Physicists are individualistic in that their feelings of significance are derived through the achievement of competence and recognition in their field. They assign greater value to approval, prestige and acknowledgement from the professional world than that coming from any other group or organization.

This sense of values will be retained when they become associated with the Navy.

PRACTICING THE ART

Often the professional in the service views the organization as an arena in which to practice his art or as a medium to further his own development-----overlooking or down-grading the fact that he also has an obligation to serve the organization.

In dealings with professionals, the problem becomes one of motivating people whose primary goals and objectives can be completely satisfied only from sources outside the Navy.

Having an appreciation of this fact is a major step toward the solution.

Providing encouragement, support, recognition and special consideration are motivational techniques which are effective in obtaining the support and co-operation of the professionals.

# INCENTIVES FOR SENIOR SUPERVISORS

Every Navy organization has a nucleus of experienced senior supervisors, who by virtue of the "system," have reached the peak of their particular promotion ladder.

They could be the Master Mechanics, GS-13s, or Chief Petty Officers.

These employees have fulfilled their needs for food, clothing and shelter and in addition have gained security, status and prestige.

Normally, they are highly self-motivated, but-----being human, some stimulation is still necessary if we are to continue to realize the maximum "pay-off" from their knowledge and talents.

Motivation in this case might take the form of:

Assignment of responsible roles in the planning functions.

Encouragement of free expression of opinion regarding policies during the formative stages---or privately after they have been established.

Provide recognition and positions of respect during official functions.

Safeguard the few status symbols that are available in the government service, i.e., parking spaces, longivity pins, etc..

Back them in their dealings with subordinate employees.

Recognize and support supervisor organizations and participate in their activities when invited.

These suggestions indicate the type of motivation possible----but it must be realized that each situation will have to be tailored to fit the individual concerned.

MOTIVATION

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# COMMUNICATION PROBLEMS

COMMUNICATIONS is the basic process of passing information and understanding from one person to another.

Unfortunately, both oral and written communications have a tendency to break down or become garbled in one way or another as they are transmitted through an organization.

The wise administrator should expect transmission failures. His success in anticipating these breakdowns depends on his knowledge of some of the more common causes.

Size of Organization---Humans tend to make mistakes and the larger the organization, the greater chance for errors.

Layers of Insulation---Change occurs both through human error and by deliberate sifting as "the word" passes through the maze of organizational levels.

Semantic Difficulties---The 500 most commonly used English words have more than 14,000 meanings. Examples: Goodness, understanding, justice and truth.

Secretiveness and Aloofness---People in authority have a natural tendency to be secretive and aloof. They want to be "Masters of Mystery." They get the word and keep it.

Complicated Phrasing---Governmental and/or legal jargon often contributes to misunderstanding and misinterpretation.

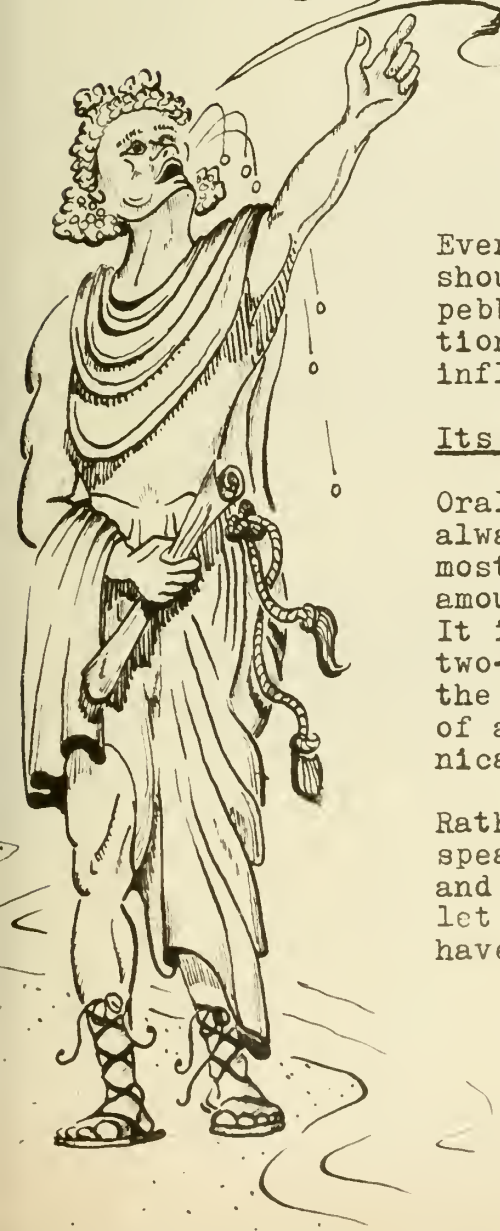
Over and Under Simplification---This is primarily due to the underrating of the intelligence of the rank and file worker.

Distractions---Attentiveness is a requisite to understanding.

Hesitancy---Some people don't want to give the boss anything but the "good news."

You may recall Operation Cicero, the espionage story of World War II, in which the Nazis obtained the timetable for the Allied invasion of Normandy; but were afraid to notify Hitler because it was "bad news."

# VOICE COMMUNICATION IS IMPORTANT



Even back in the days when DEMOSTHENES was shouting at the sea with a mouthful of pebbles, the importance of voice communication was recognized as a powerful method of influencing people.

Its importance has never declined!

Oral communications between individuals has always been and probably always will be the most important form of expression. In amount, it exceeds all other forms combined. It is going on continuously and is usually two-way in nature. According to surveys, the average executive spends at least 70% of all his working moments in verbal communication.

Rather than rehashing the virtues of public speaking courses, Toastmasters International and other means of oratory improvement------ let's see what some prominent executives have to say on the subject.

F. R. Kappel, President, Western Electric Company, Inc.:

"There needs to be written statements of basic management policy to insure effective management, but actual operating results are usually the product of oral instructions. The day-to-day job depends upon effective oral communication."

E. J. Thomas, President of Goodyear Tire and Rubber Company.:

"Much communication must be done orally because in many cases speed of communication is a vital factor and messages can be communicated much more quickly orally than in writing. Wherever possible the oral communication should be supplemented, particularly in respect to major policy matters, by writing...."

William White, Former President, New York Central Railroad.:

"Effectiveness of management personnel of all grades is very dependent upon the ability to communicate orally not only the policy of the company but suggestions as to how work should be done, criticism of poor work, and the application of discipline, and of course in the general field of human relationship. In oral communication the impact of management personnel's personality can be transmitted very much more effectively than by written communication."

# ONE-WAY COMMUNICATION

This method protects the position of the speaker (whether it be right or wrong) since he cannot be questioned.

The message should be clear, pitched to the capabilities of the audience, sufficiently comprehensive and possessed of a built-in feedback.

The feedback can be in the form of a reply by a given date, action within specific deadlines or mere acknowledgement that the message is understood.

In one-way communication, the receiver has no opportunity to comment; there is little or no direct feedback. Most speakers are in "one-way" situations and it takes considerable experience to <u>feel</u> the audience's reaction.

Since large doses of information may result in loss of comprehension.....

Summarizing helps!

Repetition does too!

So....First; <u>Tell them what you're going to tell them</u>.

Next: <u>Tell them</u>.

Then: <u>Tell them what you told them.....again</u>.

# FACE TO FACE COMMUNICATION IS VERY EFFECTIVE

However---this does not mean that it is always successful.

Sometimes a person is reluctant to state his point of view or request clarification even though he finds himself in a two-way communicating situation.

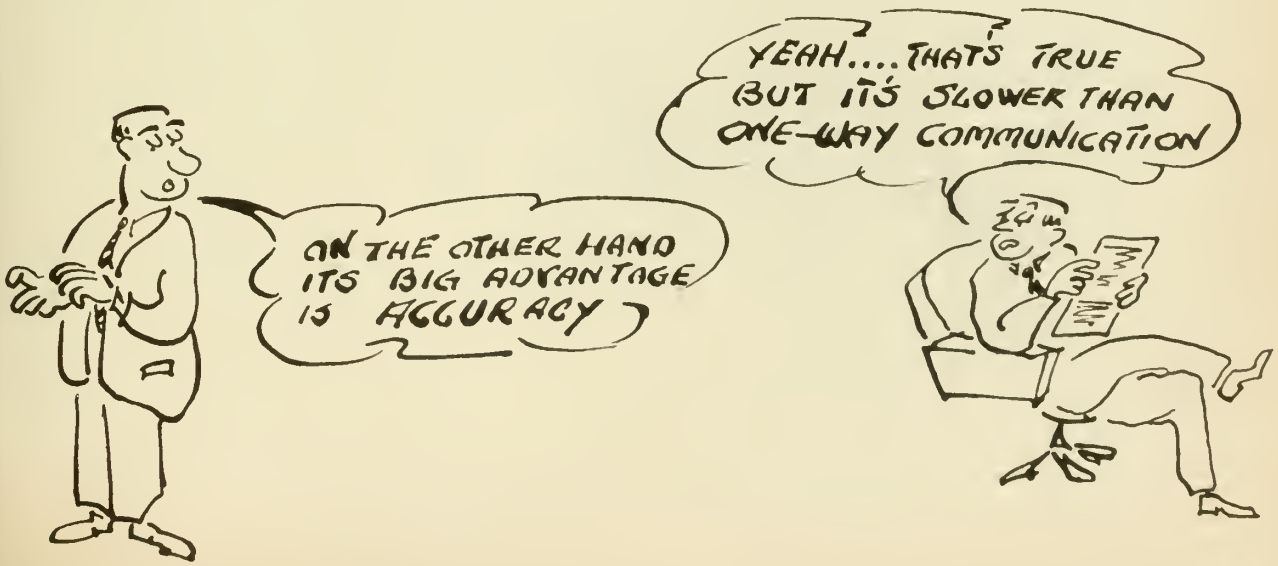
There are other major hindrances to successful communication by this method.

Inability of people to express themselves adequately.

Gaps between cultural, social and intellectual levels often precludes mutual understanding.

Language is not always rational---it is loaded with emotion and many words have different meanings.

This makes it easy for people to misinterpret or assume meanings that were not intended.



# COMMITTEES

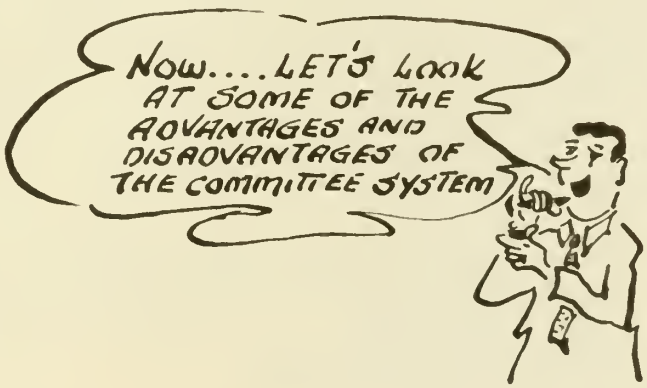
## TYPES AND USES

Formal Committees are usually a permanent part of the formal organization and have been given specific duties and authorities.

Informal Committees are those organized without any special standing and ordinarily without any specific delegation of authority. They are usually established by someone who desires group thinking or group decision on a particular problem.

Standing Committees are those which have a greater degree of permanency than temporary committees. They may be formal or informal.

Ad Hoc Committees are those established to study or act on a particular problem. These are almost always temporary in nature and are dissolved upon the completion of their specific tasks.



Advantages of committee action:

1. Stimulates group participation---people are more willing to carry out a program if they had a part in the making.

2. Committees are good as coordinating devices.

3. Committee action is a way of obtaining group deliberation, judgement and creative thought in the development of new ideas and concepts.

Disadvantages of the committee method:

1. Committees are time consuming and expensive. Group deliberation is not conducive to fast action and it is often a great waster of people's time.

2. Committee decisions are usually watered down to the level of the group and as a result---may not be the best.

3. The committee system dissipates responsibilities for decisions. Individual responsibility and action will produce more dynamic results.

<u>Committees are useful in policy determination, planning and resolving questions of jurisdictional disputes</u>.

Congressional committees and boards of directors of large corporations are groups which utilize the committee system in policy determinations.

As an executive or manager in the Navy, you will find that committees are most useful in the coordination of planning functions.

# RUMORS & RUMBLES

In addition to the more formalized methods of communication, there are informal institutions which exist in all organizations.

Since these groups may or may not be in consonance with the objectives and goals of the main organization, it behooves the young executive to understand and appreciate the whys and wherefores of these groups and the causes for their existence.

Poor formal organization, harsh management or loose and ineffective supervision can contribute to the formation of informal groups. Generally these groups exist because of the natural tendency for people to band together or their desire for satisfaction of social needs not provided by their job situation. An employee will usually associate with groups which provide similarities of either age, sex, previous schooling or occupational identity.

Important to the manager is the knowledge that these groups control and affect the member's output by threat of expulsion or ostracism. An employee won't "soldier" if it is apt to place him on the "outs" with his co-workers.

The supervisor is management's key for working through these groups since he is in a first-line position and can belong to both management and the cliques.

One of the main functions of the informal organizations, other than satisfying certain social needs, is the dissemination of information. This function is accomplished by rumor, scuttlebutt or the organizational grapevines.

Grapevines exist because people want information about the activity and the events which take place within their work environment. If this information is not forthcoming from official channels, the employees will turn to the informal sources.

THE SUPERVISOR HAS GOT THE KEY TO THE INFORMAL ORGANIZATIONS

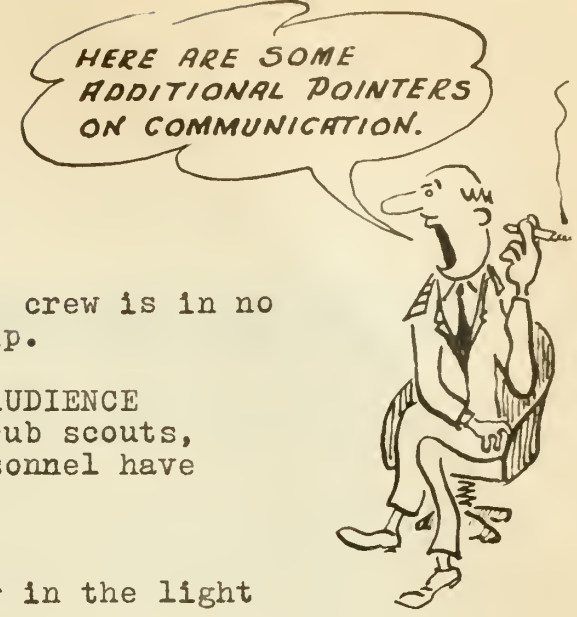
# RUMORS ARE VERY HARD TO NAIL DOWN

**RUMORS** are self-starting, fast, subtile, often erroneous and very hard to dispell or discredit once started. They are usually instigated on incomplete and faulty data and are twisted by the perpetuators to make them more meaningful to the individual. Rumors will travel only when they have significance to the teller or receiver.

The grapevine can never be eliminated, and much of what passes in this fashion is harmless. However, it may come to carry the major burden of communications whenever the regularly recognized channels are either ineffective or inefficient.

Grapevines can be useful; as a means of fast communications, to test reaction on proposed courses of action or serve as a barometer of public opinion.

The only substitute for rumor, conjecture and unreliable information is adequate and reliable sources of information, advice and direction.




UNDERSTAND THE MOOD OF THE AUDIENCE
With liberty just canceled, the crew is in no mood for a lecture on leadership.

CONSIDER INTELLIGENCE LEVEL OF THE AUDIENCE
College groups, garden clubs, cub scouts, civil service and enlisted personnel have different views and outlooks.

EACH PERSON'S MENTAL BIAS
People interpret what they hear in the light of their own interests.

PREPARE THE AUDIENCE BY FRAMING THE INTENT
Harsh tone of voice for discipline; firm for giving orders. Handwritten letters are considered more personal than those that are mimeographed.

PEOPLE WILL FILL-IN OR IGNORE DETAILS
This is done to make the meaning more familiar.

DO NOT OVERCOMMUNICATE
Lengthy communications are confusing.

SHORT CIRCUIT THE CHAIN OF COMMAND IF NECESSARY TO EXPEDITE
Send information copies, telephone or otherwise inform all interested parties.

FOREIGN LANGUAGE PROBLEMS
Comprehension is normally much slower. Furthermore, the message must be interpreted through a culture different from yours.

SHORTEN LINES OF COMMUNICATION
Staffs can communicate directly and by-pass the chain of line command without usurping authority.

UTILIZE HOUSE ORGANS
Plan of the Day, newspapers and other publications.

USE EMPLOYEE COUNCILS AND GROUPS
These groups can assist in the dissemination of information and can help in the interpretation and explaination of policies and regulations.

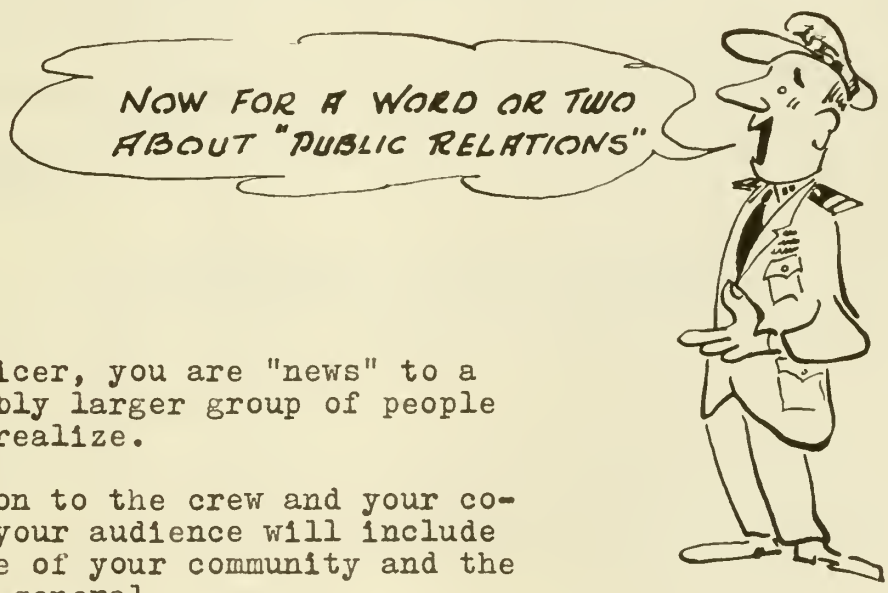
INVESTIGATE EVERY COMMUNICATION FAILURE
A request for clarification means your message didn't get through.

— PUT SOME "BEEF" INTO THIS ONE.

## ABSTRACT WORDS MEAN DIFFERENT THINGS TO DIFFERENT PEOPLE

Be sure the words you use convey the thought you intend.

Care in the use of abstract words is essential.




As an officer, you are "news" to a considerably larger group of people than you realize.

In addition to the crew and your co-workers, your audience will include the people of your community and the public in general.

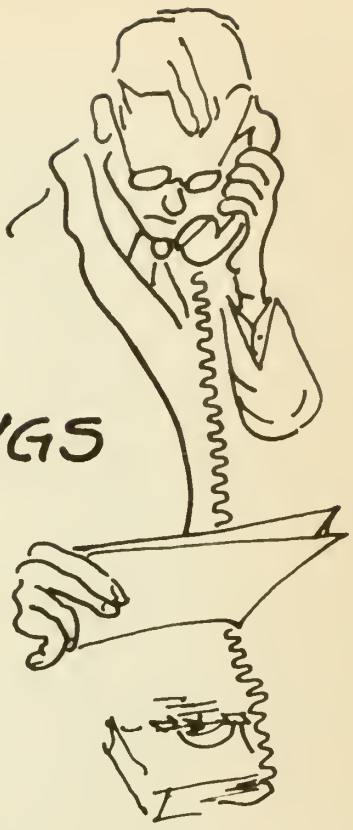
Because of this fact, it is most important that precautions be taken to minimize misunderstandings, rumors, exaggerations and misinterpretations---avoid vagueness and ambiguity.

Ideas must be expressed so as to convey the meaning and motive intended.

Statements must always be in accord with established policy.

# LISTENING

## SAVES TIME AND DECREASES MISUNDERSTANDINGS



REASONS FOR CAREFUL LISTENING

Exciting and Emotional situations create errors of exaggeration.....

Remember the Orsen Wells broadcast regarding the Martians landing in New Jersey.....even though advised that the story was fiction, many people panicked.

Boredom and Dull Topics lead to errors of transposition.

Disagreement makes it difficult to assimulate communications with accuracy.

TEN COMMANDMENTS OF GOOD LISTENING

1. First you have to stop talking to listen.
2. Put the talker at ease.
3. Indicate that you want to listen---(show your interest)
4. Remove distractions---(give your undivided attention)
5. Stop talking---(listen)
6. Put yourself in the speaker's place.
7. Don't argue while he is making his point---(wait your turn)
8. Ask questions---(when natural pauses occur)
9. Be patient---(hear the person through)
10. Stop talking.

THERE WILL BE TIMES WHEN
EVEN THE BEST TECHNIQUES
WON'T GUARANTEE SUCCESS!

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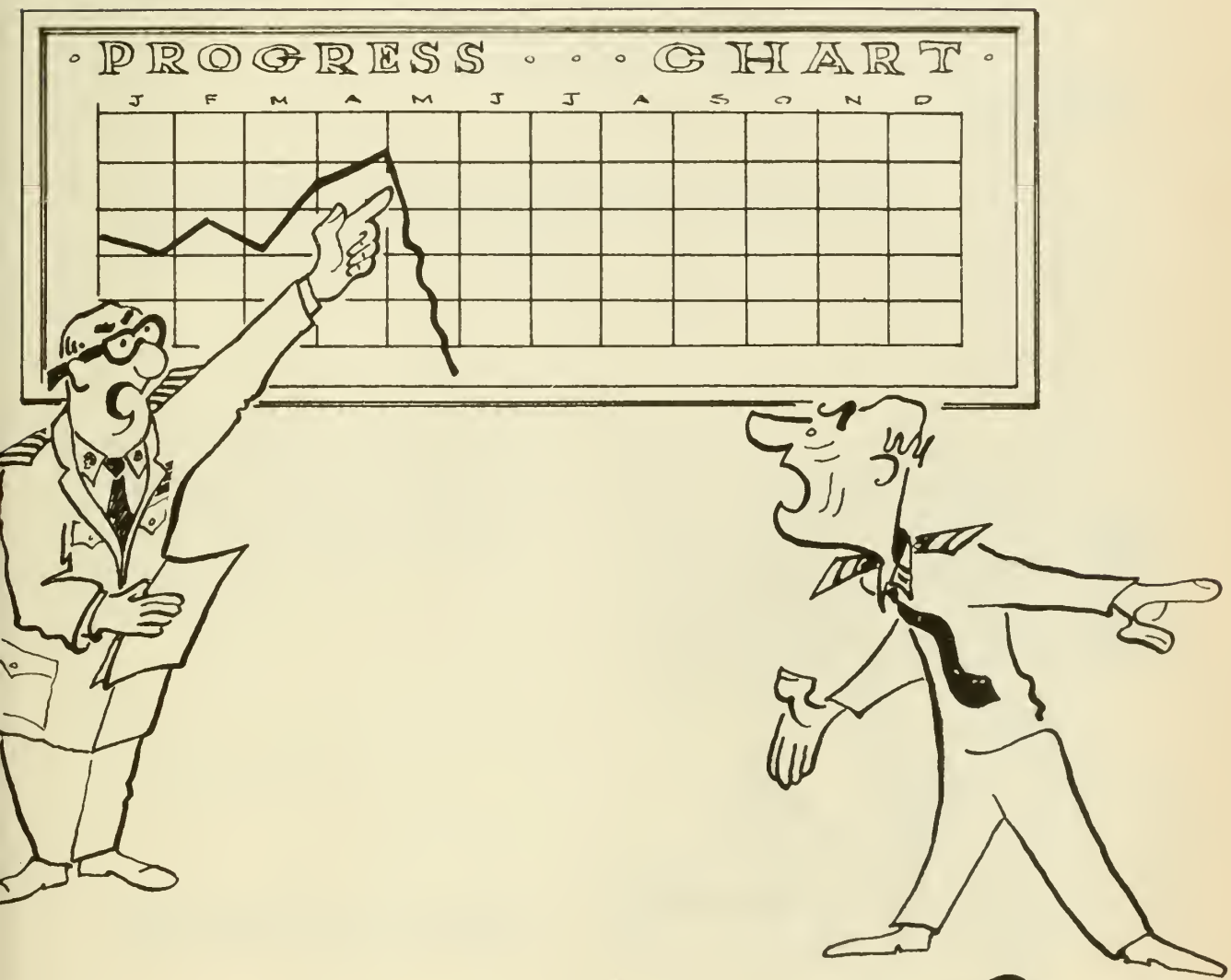
# CONTROLS AND TECHNIQUES




WHOT HOPPENED?

# EVENTS DON'T "JUST HAPPEN"

## THEY ARE CAUSED

AND

## CAN BE CONTROLLED

All events---from the complex movements of ships and intricate techniques of production to the undertaking of the most routine tasks result from the utilization of three basic elements:

**MEN**

**MATERIAL**

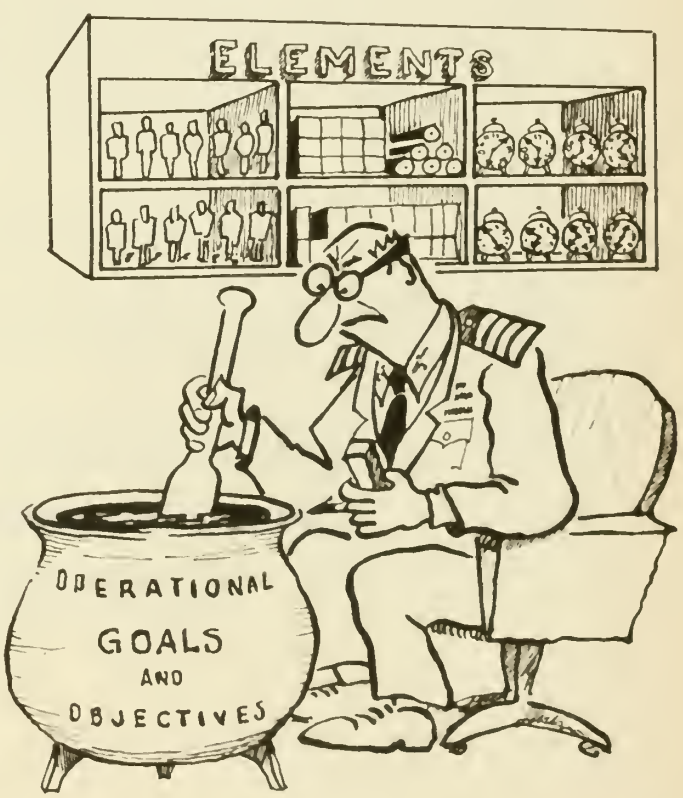
**TIME**

The outcome of events is directly dependent on how, when, where and in what combination these elements are used.

Naval Management boils down to determining what mixture should be used to obtain the desired events with respect to operational goals and objectives.

and then

CONTROLLING THE MIXTURE



PROGRESS AND ACHIEVEMENT

REPORTS

WILL

INDICATE OVERALL PERFORMANCE

Control of the elements is essential if you are going to influence the outcome of operations and specific undertakings.

Control procedures can be established in many different ways.

For each control procedure to be effective, it will have to be based on:

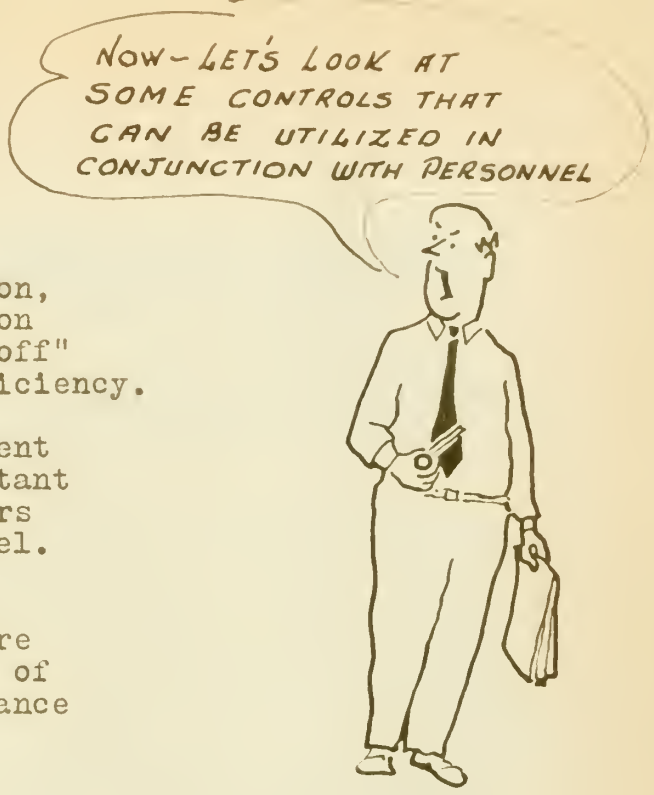
1. PLANNING
2. THE ESTABLISHMENT OF STANDARDS
3. APPRAISAL AND EVALUATION

and result in:

4. A DECISION FOR ACTION

In Naval Management---Controls can be thought of as:

"The measurement and correction of the performance of subordinates in order to insure the accomplishment of planned objectives."




## PERSONNEL QUALITY CONTROLS

Controls on the initial selection, placement, training and promotion of personnel will provide "pay-off" in increased production and efficiency.

Effective selection and assignment procedures are especially important in the development of supervisors and subordinate manager personnel.

Be sure that the procedures for accomplishing these functions are designed for the best interests of the organization and in conformance with established policies.

## ORGANIZATIONAL CHARTS

These serve as a focal point for all controls, because the organizational structure is the basic plan upon which duties are assigned and authority is delegated.

The efficient grouping of activities and functions and the delegation of adequate authority is necessary to produce effective departmental operations.

There should be specific responsibilities and tasks for each individual involved in any operation. This necessitates clear duty assignments and specific job descriptions.

## POLICIES AND REGULATIONS

Policies, instructions, procedures and rules are regulatory measures since they comprise the methods by which authority and responsibilities can be delegated without the loss of control.

For these to be effective---they must be clear, concise, up to date and be known by the employees.

Periodic review and up-dating will insure the continued effectiveness of policies and procedures.

STANDARDS are the established criteria against which actual results can be measured.

They represent an expression of the organization's objectives and are usually set forth in terms of:

Percentage of hits.....

Re-enlistment rates.....

Tons of ammunition per month..

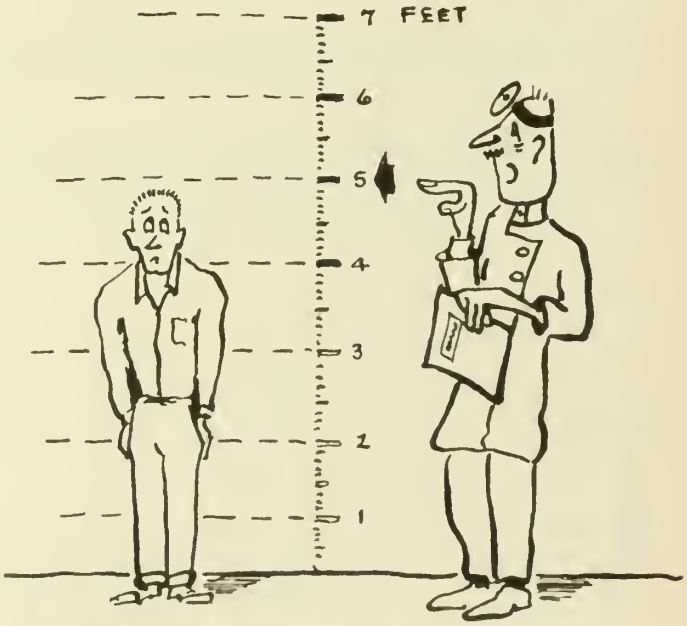
Man hours per.....

Standards are not static and must be revised as conditions change.

Standards are relative, since they are established by human beings to measure effectiveness---so don't consider them as absolute in all situations.

Most standards are established as minimums or averages.....

and it is O.K. to surpass them.




Control standards should be tied to individual responsibility.

## INSPECTIONS

From a control point of view, inspections are like planning and should have a "forward look."

Too often, they are concerned with events of the past and will contribute little towards improvements in the future.

The goal of inspection is to detect deviations which can be corrected to control events and outcomes of the future.

## PERSONAL OBSERVATION

First-hand knowledge obtained by personal observation is a control technique which is hard to beat.

On-the-job observation provides a "see it for yourself" basis for the appraisal and direction of employees.

It is especially helpful in the appraisal and evaluation of supervisory personnel.

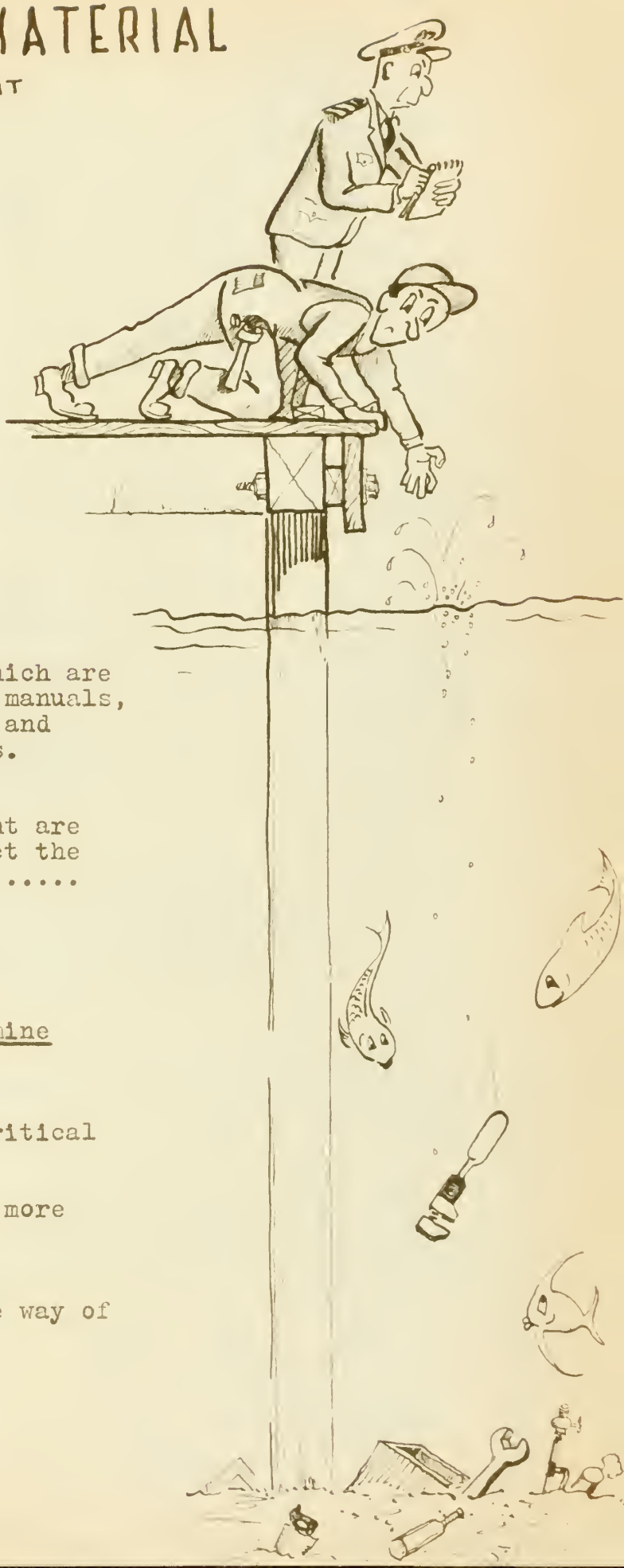
Induction and insight into human behavior are important, but they are not sufficient, you must also have objective standards upon which to base comparisons and make judgements.

CAUTION!

Sometimes a vast gulf exists between the impression a man creates and the actual work he produces.

# CONTROL OF MATERIAL

## AND EQUIPMENT



Involves:

- Procurement
- Receiving
- Inspection
- Inventory
- Scheduling
- Processing
- Quality Control
- Shipment
- Losses
- and many other aspects which are covered in detail by manuals, production handbooks and procedural directives.

Since materials and equipment are basic elements---which affect the outcome of events.....

Analyze the situation

then

Determine

1. Which items are critical
2. Which require the more stringent control
3. The most effective way of controlling.

# TIMING IS IMPORTANT AS A CONTROL

Time is a big factor in scheduling and the establishment of standards.

Arranging shipping schedules

Planning production sequences

Scheduling leaves and vacations

Stretching out the expenditure of funds.....$

and even the "Plan of the Day"

Are examples of Time Controls

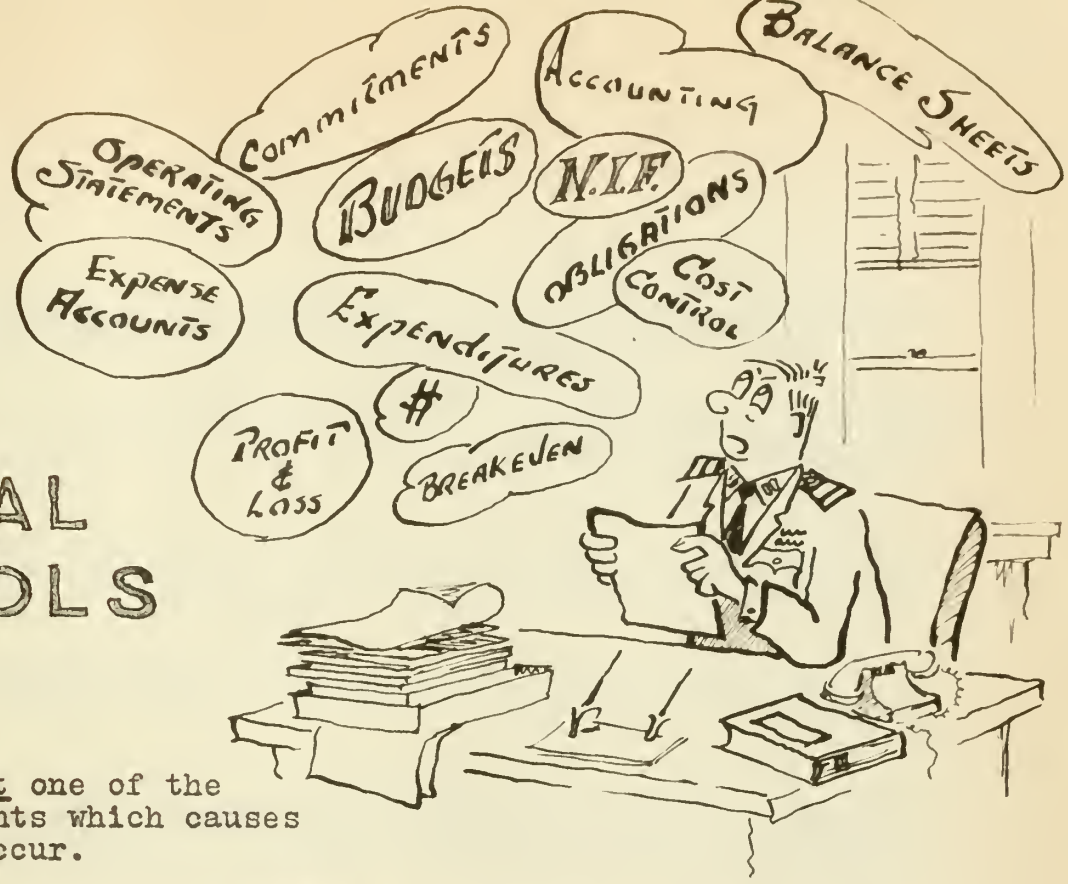
Since time can never be regained once it has passed, it is extremely important that controls over the use of time be planned and implemented with the upmost care.

Time and motion studies and the techniques for establishing standard job times are set forth in numerous texts on industrial production.

For all "Critical Times" establish.....

**DEADLINES!**

# NANCIAL ONTROLS




Money is not one of the basic elements which causes events to occur.

BUT it has a tremendous IMPACT on the elements that do, since money is the medium through which we obtain material and the services of people.

> Restrictions on the use of funds can become an "overall" control which influences the outcome of events.
>
> This point is recognized by Congress, DOD and all of the Military Services.

So---it behooves the young executive to become familiar with the various monetary controls and utilize them in his managerial functions.

BUDGETS are the most important of the financial controls.

They are plans expressed in monetary terms and serve as a standard against which actual or expected performance can be measured.

They should have some degree of flexibility in order to conform with operational changes as needed.

Budgets permit executives to make broad delegation of authority without loss of control, and the effective manager who believes in delegating action will use it in this manner.

ACCOUNTING SYSTEMS are techniques for gathering information needed in the preparation of financial reports.

Most of the accounting data collected is historical in nature and is not too useful in controlling or influencing current or future events.

However, systems can be devised to indicate trends that are helpful to the executive in spotting critical situations in advance of their occurrence.

Financial reports must be accurate, free of extraneous computations and timely to be of real value to the executive.

COMMITMENTS, OBLIGATIONS AND EXPENDITURES (actual) compared with those estimated and planned provide another extremely useful financial control.

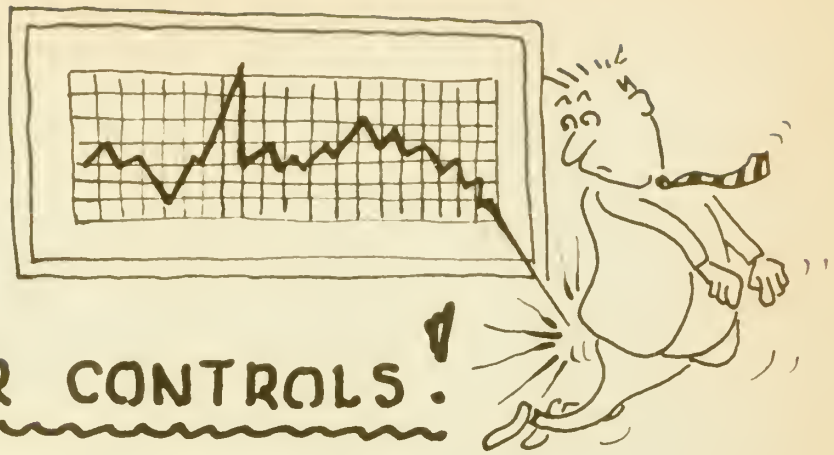
This is especially true in the Navy, in view of the legal limitations regarding the expenditure and over-obligation of funds.

Since these regulations do change from time to time, it is wise to keep posted on the current directives and instructions.

CONTROL OF $ CASH $ is always important.....

- Be precise in the assignment of responsibilities.
- Establish definite reporting procedures.
- Provide for periodic audits.

OVER-OBLIGATED



# WATCH YOUR CONTROLS!

THEY HAVE BEEN ESTABLISHED
TO SAVE YOU —

MANPOWER
MATERIAL
& TIME

## FOR CONTROLS TO BE EFFECTIVE..
## YOU SHOULD:

1. Have a plan to achieve objectives.

   The purpose of controls is to compel events to conform to a plan.

2. Isolate and identify the critical factors upon which successful achievement of your plan depends. { CONTROL BY EXCEPTION

3. Set standards of performance and due dates for the "key" factors.

4. Appraise past, present and future performance against the strategic standards established.

5. Take action as necessary to insure conformance.

# SPECIAL MANAGEMENT TECHNIQUES

A.D.P.S.

LINEAR PROGRAMMING

QUEING PROBLEM

INFORMATION THEORY

GAMING THEORY

PERT

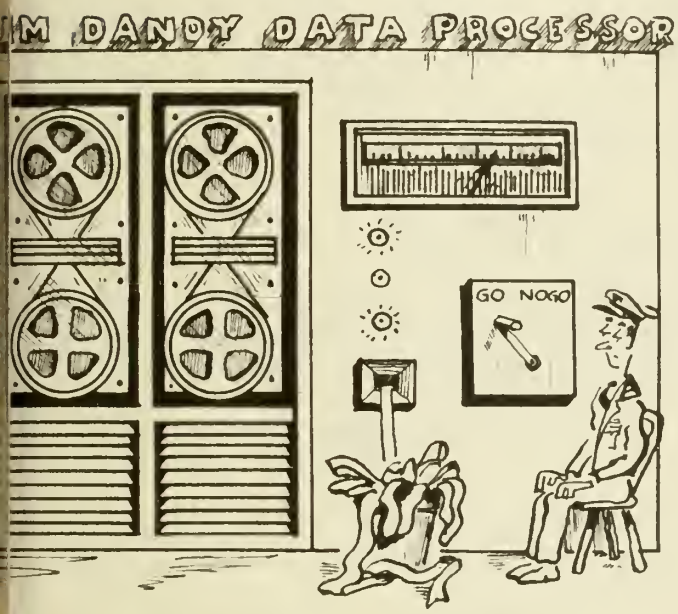
MONTE CARLO

OPTAR

## SPECIAL MANAGEMENT TECHNIQUES

The development of computers, data processing equipment and programming concepts has provided new techniques and speedier methods of analyzing some of the problems confronting management.

Following are briefs on a few of the special systems which are being used by the Navy and private industry:




### ADPS

The Navy is currently using Automatic Data Processing Systems to process:

The accounting and reporting of time and cost data.

The preparation of payrolls.

Maintenance of stock records.

Scheduling of production work.

The data used in conjunction with research and development.

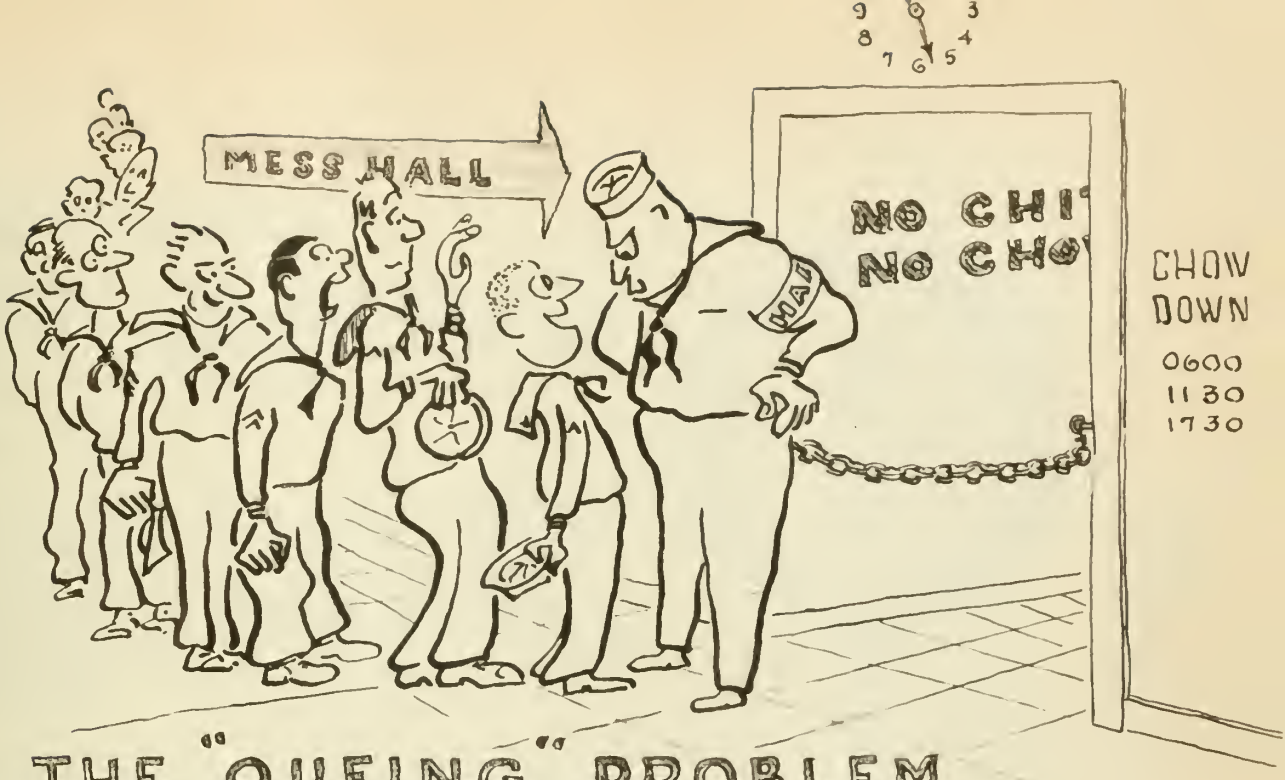
### LINEAR PROGRAMMING

This is a problem solving technique which utilizes a matrix to allocate resources so as to maximize or minimize some criterion or cost function.

Examples:

The balancing of the various outputs from an oil refinery against market demand and available crude production in such a manner as to maximize profit.

The establishment of minimum cost shipping schedules in a transportation problem. This envolves the matching of production sources against the product demands at various locations.




# THE "QUEING" PROBLEM

This is the general problem of waiting lines in which people, ships, aircraft, units on a production line and so forth arrive at some service point and must wait to be served.

Arrivals are usually at random, as are movements through the servicing facility.

The problem is one of balancing the cost of letting the unit wait against increasing the service capacity.

The mathematical methods used to solve these problems usually makes use of the probability theory.

## INFORMATION THEORY

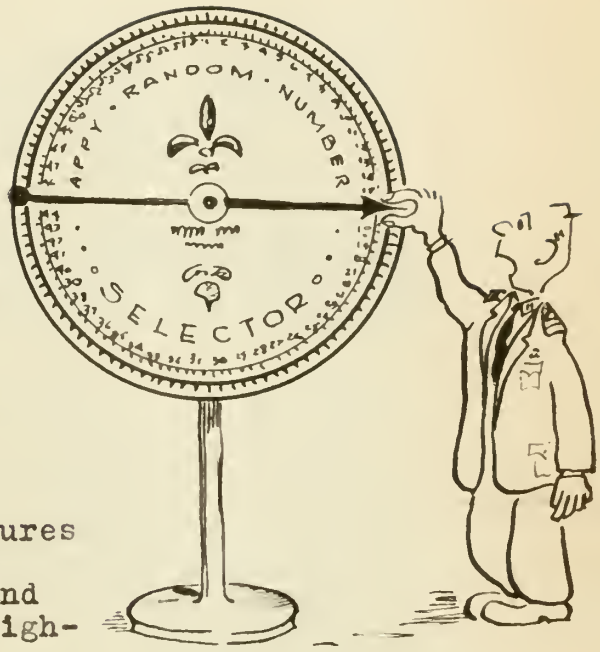
In this case, the structure of an organization is depicted as a network of information channels connecting the various centers where work (or the objectives of the organization) are accomplished.

These channels have determinable capacities for passing information which is dependent on the form of the communication and the interference (called "noise") present in the system.

The main contribution of information theory is the provision of a quantitative measure to detect bottlenecks, non-functional components and over-capacity in organizational structures; hence a means to optimize the flow path for information.

MONTE CARLO ANALYSIS

This is a method of analysis which simulates an operation through the use of random numbers and probabilities of occurrence.




For example:

In determining the traffic densities at airports, one could use a table of random numbers together with empirically determined probability distributions for scheduled and non-scheduled arrivals and departures of aircraft.

A whole series of arrivals and departures which would have the same statistical properties as actual plane arrivals and departures could be worked out on a high-speed electronic computing machine.

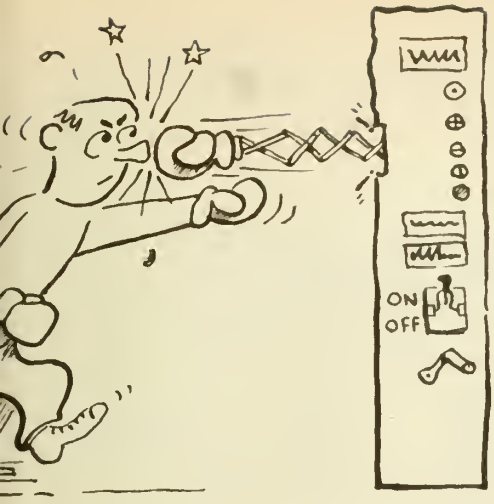
Then the computer would be used to reproduce the essential elements of the problem. Thousands of cases could be run off in a very short time to simulate the densities and provide data for the analysis.

OPTAR (Operating Target)

A funding system for fleet units in which the type commanders are responsible for budgeting, financial management and allotment administration of Maintenance and Operating funds for the ships and units under their administrative control. Legal responsibility for allotment accounting is vested in the type commanders and the unit commanders are assigned operating targets which establish dollar limitations on their obligating authority.

The OPTAR system was devised to reduce and simplify the amount of bookkeeping required of afloat units and to provide for greater speed and efficiency through the centralization of accounting and allotment control.

The OPTAR system has been adapted for use by shore based units such as Mobile Construction Battalions and certain air squadrons.




GAMING THEORY

This analogy attempts to deal with the elements of human behavior, uncertainty and competition in an operational environment.

The theory pits humans or teams of people against a computer which is programmed logically to behave like an oponent in a conflict situation.

PERT (Program Evaluation and Review Technique)

The PERT system utilizes ghant charts, critical paths and computers to provide a display of interrelated events of a very complex program.

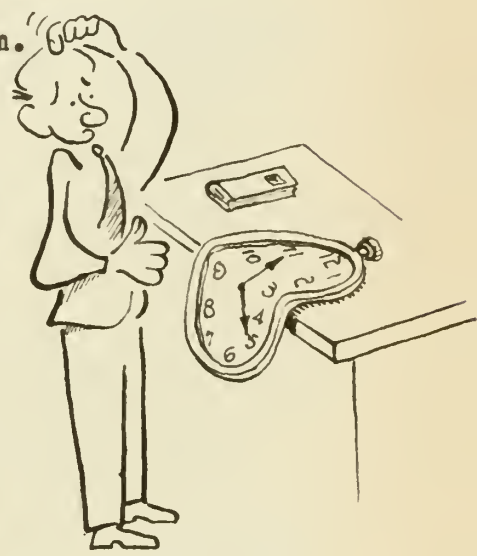
The heart of the system is determination of "Critical Paths."

Time estimates for all of the various tasks, along with a flow plan are fed into the computer which calculates and sorts out the longest path from all the possible paths to any event.

Paths leading to an event which have slack time represent those resources which have the potential of being reallocated.

The paths leading to an event with no slack time represent areas of the Critical Path.

The Critical Path provides the manager with information on where slips are likely to occur and an indication of their magnitude.



◦SLACKTIME◦

As a matter of interest:

The PERT system was successfully used by the Navy's Special Projects Office in conjunction with the scheduling and development of the Polaris Program to bring about its delivery ahead of schedule.

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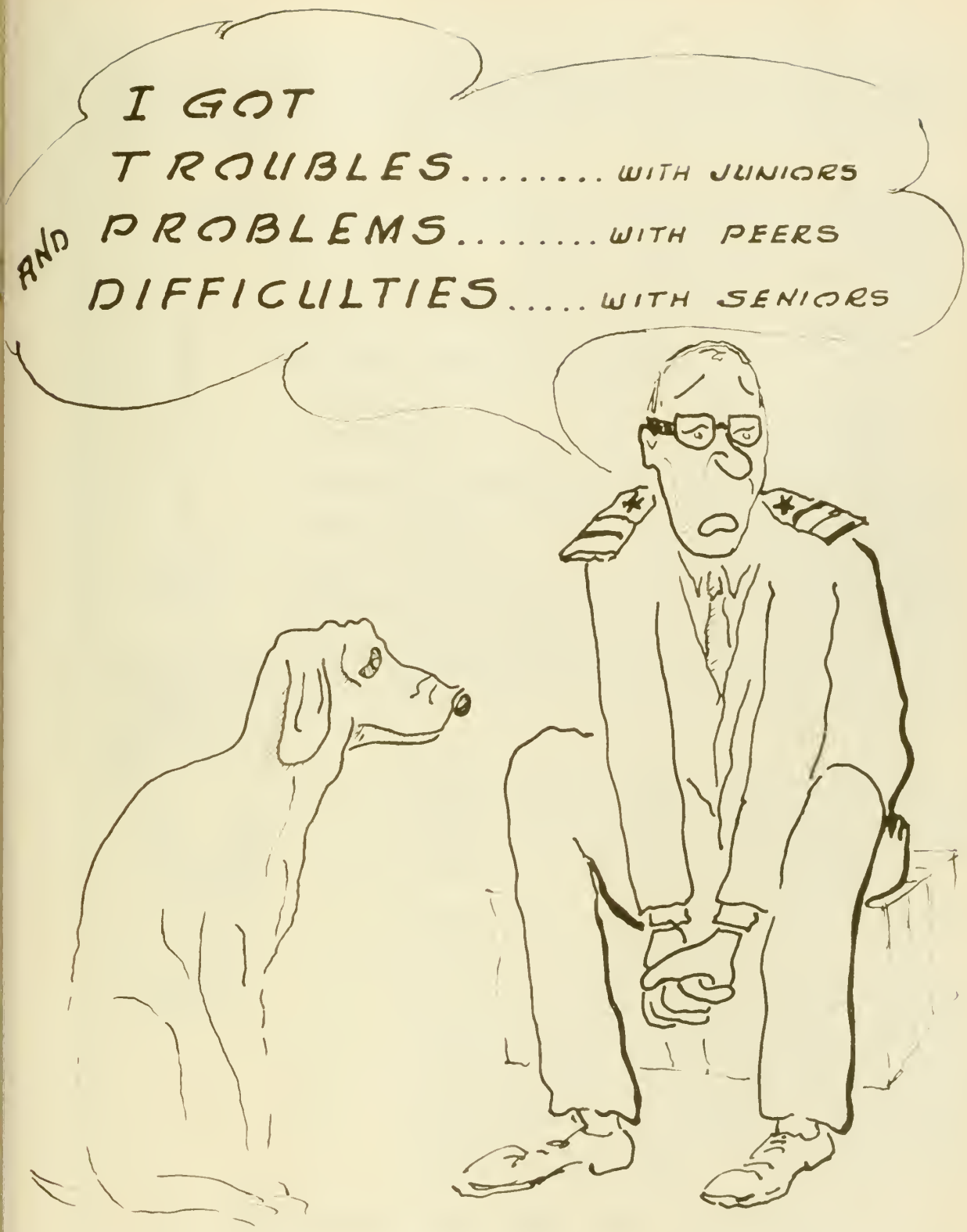
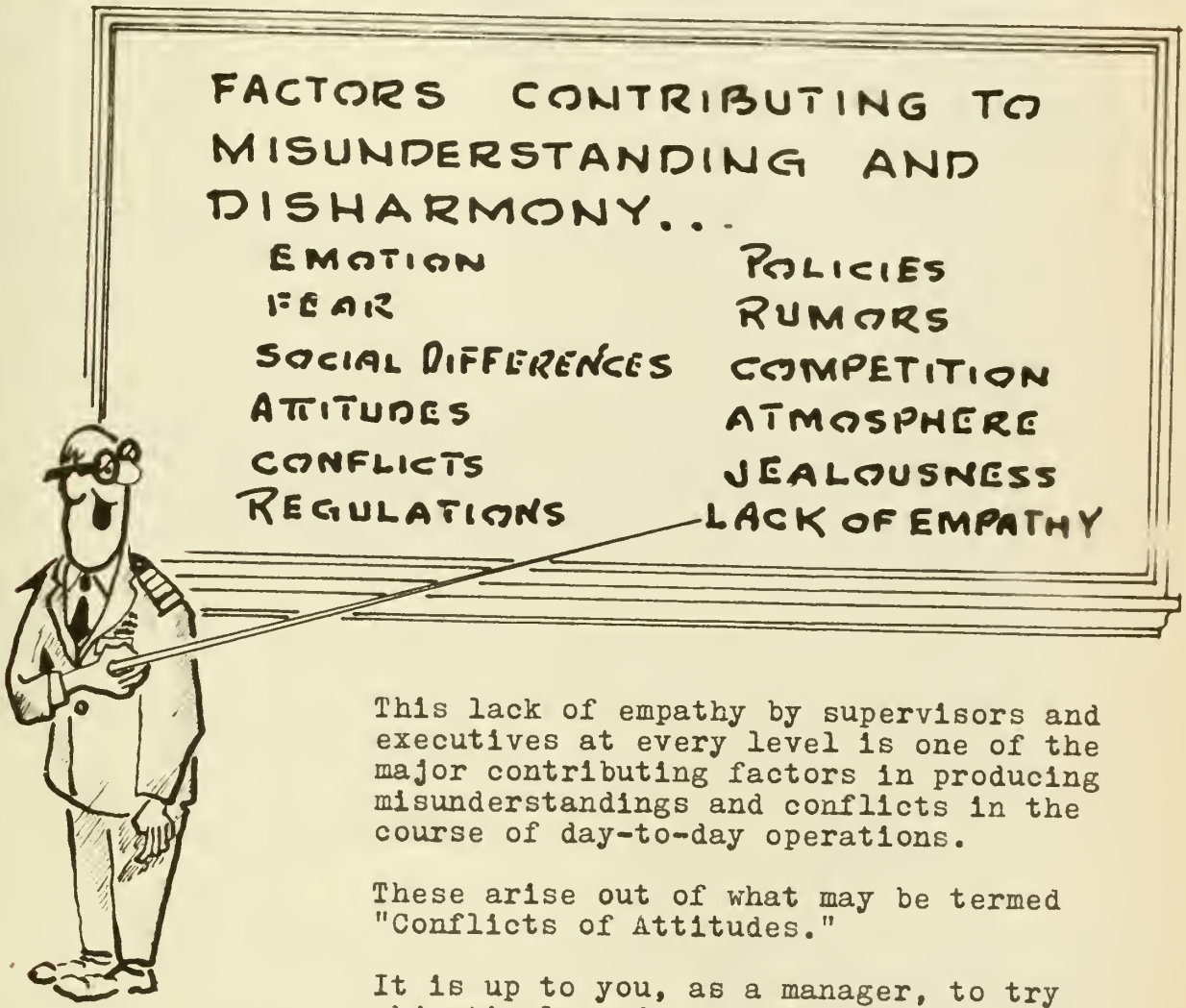

I GOT
TROUBLES..... WITH JUNIORS
AND PROBLEMS..... WITH PEERS
DIFFICULTIES..... WITH SENIORS

Troubles, problems and difficulties are to be expected in any organization and their magnitude will vary with the size of the enterprise and the number of interrelationships created between the people employed.

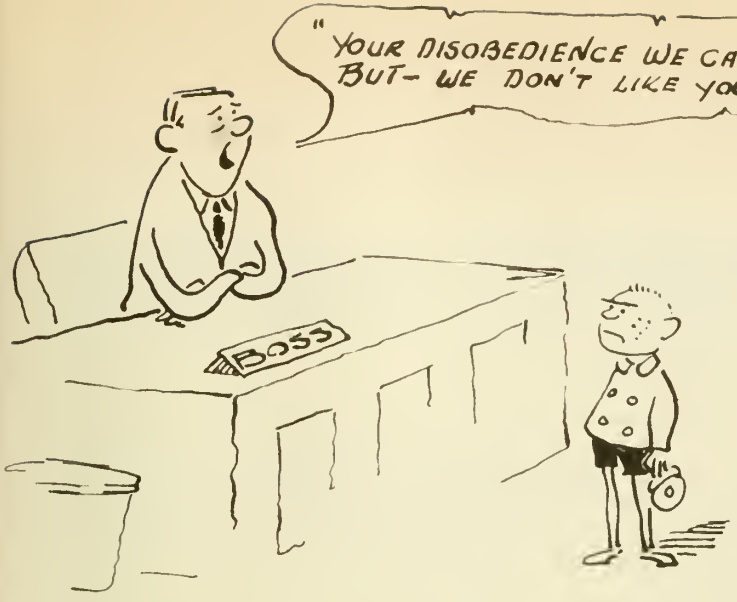



This lack of empathy by supervisors and executives at every level is one of the major contributing factors in producing misunderstandings and conflicts in the course of day-to-day operations.

These arise out of what may be termed "Conflicts of Attitudes."

It is up to you, as a manager, to try objectively and without passion to see both sides of the problems with which you are confronted. Only management is in a position to correct many of the conditions which create or exacerbate employees ill will and feed the fires of their hostility.

THE INITIATIVE MUST COME FROM MANAGEMENT




# TROUBLES WITH JIRS

Prompt Action---Before a situation becomes critical is an important factor in dealing with subordinates.

Here again, get all of the facts before you act.

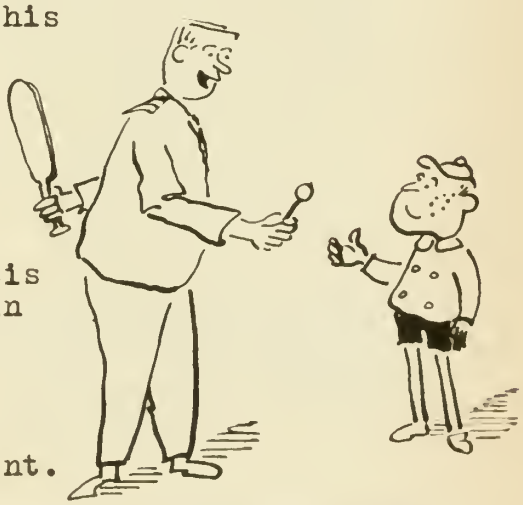
Provide an opportunity for the person to explain his problem.

> Remember, even small problems are big to the one who has them. He has probably been thinking about it for a long time and sometimes just having an opportunity to "talk-it-out" provides a big step towards the solution.

With subordinates, it is important to:

1. Choose the right time and place to discuss matters.
2. Make clear your interest in his troubles--be sincere.
3. Listen!
4. Be specific about remedies.

   If mistakes have been made--make criticism a basis for improvement and explain the importance of errors. Help make his job more meaningful.
5. Follow-up--commend improvement.



Frequently--indirect action accomplishes more than a frontal (or rear) assault.

# PROBLEMS & PEERS

As organizations increase in size, relationships become more complicated.....

Executives are more likely to come into contact with problems such as internal politics; cliques; over-ambitiousness; pompousness; racial; religious; social and age differences---or just plain meanness at their own level.

The settlement of problems between peers is often quite difficult. Any attempt to resolve these problems using "lines of authority" is time-consuming, awkward and usually unsatisfactory for both parties concerned.

Informal man-to-man discussion (not arguments) is the best all around approach.

# DIFFICULTIES WITH YOUR SUPERIORS . . .

These situations run the gamut from a subordinates disagreement with his boss's orders to the personal idiosyncrasies of the superior.

The prerogatives of seniors are privileged and each superior-subordinate relationship is unique. Recognize and accept this situation and tailor your actions to the "modus operandi" of the boss.

Your best protection is:

# A JOB WELL DONE

# TROUBLES & TIPS

| | |
|---|---|
| Open Opposition | Best cure is prevention. If it develops in public, proceed with dismissal of employee without fanfare. |
| Covert Opposition | Deal directly and openly with persons involved. |
| Sullenness | Try to find reason---then correct. |
| Discourtesy | If genuine, likely a reaction to some previous act of your own. Often is accidental. |
| Disloyalty | If genuine and not just divergent opinion, dismiss employee. |
| Prejudice | A tendency in mentally limited. Patiently reiterate and explain your ideas until accepted. |
| Stubbornness | Try to find causc---use positive approach, not argument. |

| | |
|---|---|
| Uncertainty, Worry and Fear | Publish news as soon as possible to hold down uncertainty and rumors. |
| Grief | Be receptive---work is a great antidote for sorrow. |
| Dishonesty | Eliminate temptation as much as possible. Willful dishonesty must be acted upon promptly, decisively and impersonally. |
| Immorality | Approach with care as this is often spread by rumor and may be unfounded. Where ascertained; dismissal is only alternative. |
| Unreliability | Warning---Ultimatums not wise. Improvement may be gradual. |
| Irresponsibility | Responsibility is rarely an inborn virtue. Check to see if the responsibility of the employee has been defined. Younger men need training; older men---discipline. |

| | |
|---|---|
| Dullness | Indication of low intelligence. Encourage---don't criticize. Assign job compatible with ability. |
| Lack of Initiative | Strong initiative may not be desired on part of non-supervisory employees. Constructive thinking should always be welcomed. |
| Lack of Perseverance | Insist on completion of the little things required for a "finished job." Set example. |
| Religious Difficulties | Groups with different faiths sometimes display active antipathy toward each other. Remain neutral and openminded. Consider that all beliefs should be respected. |

# IN DEALING WITH EMOTIONAL PROBLEMS AND CONFLICTS

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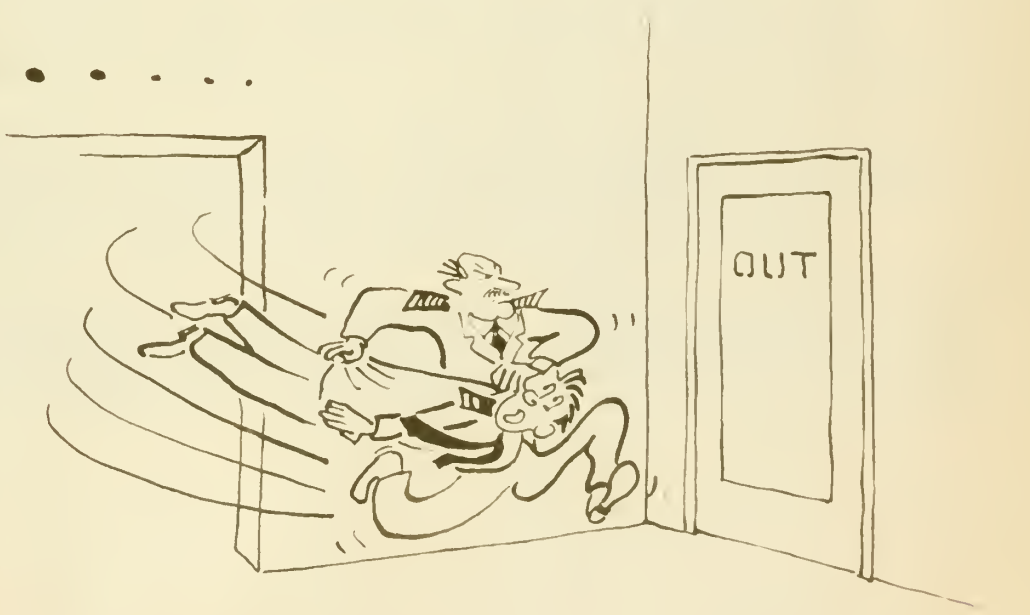
A PROBLEM EMPLOYEE IS USUALLY AN EMPLOYEE WITH A PROBLEM

# PROFESSIONAL DEVELOPMENT

NAVAL OFFICERS NEVER REACH THE POINT WHERE THEY --- "HAVE ARRIVED".

THEY MUST CONTINUE TO IMPROVE

OR.....



YOUNG MAN
YOU COULD HAVE
AVOIDED THIS—
HAD YOU
REALIZED
THAT:

"The days when schooling and education lasted a lifetime are gone forever."

Every successful executive must periodically return to the books for a retread; either through a formal educational program or by means of a planned and concerted effort on his own.

This point was emphasized in a 1961 issue of TIME magazine. The particular article was concerned with the University of California and its extension program for 150,000 students.

The article indicated that:

> Of Cal's extension students, approximately 80% were men with an average age of 32 years who were married and had previous college experience.
>
> That 60% had bachelor degrees and another 10% had graduate degrees.
>
> The major motivating factor for these students was--- to "keep up."

Dean Paul Sheates, Cal's Statewide Extension Boss, said:

> "You have to learn.....or perish."

The same is true in the Navy. With its new weapon systems, new management techniques and the ever-changing operational procedures---it is absolutely essential that each officer improve his own knowledge and keep up with the times.

Fortunately, the Navy provides a wide variety of opportunities for the continuance of your education. Furthermore, many of the Navy's training and educational programs are either fully or partially financed by the government.

# BUT..

IT IS YOUR **RESPONSIBILITY**

TO DETERMINE:

YOUR LIMITATIONS

YOUR WEAKNESSES

YOUR REQUIREMENTS

AND

YOUR OWN COURSE OF ACTION

FOR

# EXECUTIVE DEVELOPMENT

(Nobody else is going to do this for you)

## SO.....

## IT'S UP TO YOU

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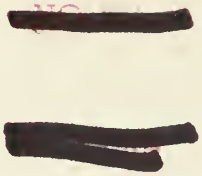

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